

RECEIVED

from the desk of

Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F32
Narberth, PA 19072

25 AUG 1999

Legal Staff
International Division

Renewed Petition under 37 CFR §1.137(b)

Docket Number
P-1018

First named inventor: Howard K. Shapiro

International Application No.: PCT/US96/13850
Art Unit: N/A

Group

International Filing Date: 29 August 1996
Examiner: N/A

Title: Methods and Compositions for Development of Drug Screening
Procedures and Diagnostic Tools

Attention: Cynthia M. Kratz
Attention: PCT Legal Office
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Ms. Kratz:

This letter is responsive to your Decision on Petition for Revival Under 37 CFR 1.137(b) postmarked 12 March 1999, in which you and Ms. Jennifer Bahr declined the above cited petition and requested further information and explanation on my part. At present, I am not represented by an attorney of record, so I am responding personally to your letter. However, Donald J. Perrella (USPTO Reg. No. 22,491) was my attorney of record for the filing of the parent PCT application on which the present national filing (pending reconsideration) is based, remained my attorney of record until November of last year and has most kindly agreed to assist and advise me on the present matter on an informal basis.

Responsive to your Decision on Petition for Revival Under 37 CFR 1.137(b) postmarked 12 March 1999, I have previously forwarded two communications to your office. The first of these was a certified mail communication postmarked 12 May 1999 that included a one month Request for Extension of Time Under 37 CFR §1.136(a), with payment of \$55.00 as personal check number 4998. Accompanying the extension request was the original copy of my Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(b))-Independent Inventor, dated 12 May 1999.

Then, a certified mail communication postmarked 12 June 1999 contained a further two month Request for Extension of Time Under 37 CFR §1.136(a). It is important for me to acknowledge that my communication of 12 June 1999 was erroneously entitled "Request for One Month Extension of Time Under 37 CFR §1.136(a)," a typographical error on my part made when I edited a computer file

of my 12 May 1999 communication. However, in the body of my 12 June 1999 letter I stated that I was requesting "an additional two month extension of time under 37 CFR § 1.136(a)." A payment of \$110.00 as personal check number 5030 accompanied this communication, my understanding of the fee required for the additional two month extension of time. In a telephone conversation to the USPTO PCT Help Desk at (703)-305-3257 at approximately 4 PM on this past June 11th, I was informed by a USPTO representative that \$110.00 was the correct fee payment required for the additional two month Extension of Time Under 37 CFR §1.136(a).

In an attempt to clarify if I must currently pay additional filing fees as per section 17 of page 2 of the Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371, yesterday I telephoned Ms. Patricia Volpe at the PCT Legal Staff Office. I called (703)-308-6461, Leonard Smith's number, but he did not pick up and my call was transferred to Ms. Volpe. She explained to me that at this time I do not have to fill out section 17 and pay additional fees. She explained that upon receipt at the USPTO, a legal assistant will fill in section 17, calculate any additional fees that may be due, and that I will then be notified by mail if any additional payment is due (or if a refund for overpayment is to be issued).

However, when I spoke with Ms. Volpe yesterday, she called up this case file on her computer, and she informed me that the case file shows only one entry for extension, a one month extension. With my records on my desk, I explained to her that two requests for time extension had been filed, bringing my response deadline up to August 12th. But she could only inform me that just one of the extensions had been entered, and she suggested that I bring this matter to your attention in the present communication. With this in mind, I am including with this letter copies of my time extension request postmarked 12 May 1999 with accompanying Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(b))-Independent Inventor, dated 12 May 1999 and my time extension request postmarked 12 May 1999. As both of the canceled checks were included in my last bank statement, I am also presently including photocopies of both sides of these checks. Oddly, the backs of these checks bear the same cancellation dates. But that reflects their paper trail at the USPTO, not when I submitted them. In light of the information noted above, I am presently requesting that both of my time extension filings under 37 CFR §1.136(a) be recorded in the case file.

The following additional comments are offered in response to the request for additional information contained in your Decision on Petition for Revival Under 37 CFR 1.137(b) postmarked 12 March 1999.

I would like to state once again that the failure to activate this case for US national review by the filing of a US

Chapter II demand by 22 November 1997 was an inadvertent act on my part, based on my incomplete understanding of USPTO requirements. I would like to most sincerely request your reconsideration of the decision of your Office letter postmarked 12 March 1999. Said reconsideration is requested on the following grounds.

Responsive to the last paragraph of page 1 of your Decision on Petition for Revival Under 37 CFR 1.137(b) postmarked 12 March 1999, I am filing at this time a Transmittal Letter to the United States Designated/Elected Office Concerning A Filing Under 35 U.S.C. 371 (Form PTO-1390) and a Declaration for Utility or Design Patent Application (Form PTO/SB/01).

By profession, I am a biochemist. I wrote the initial draft of the above cited international patent application. Subsequent to editorial review and comments by Dr. Perrella, the revised PCT was filed. However, I have pursued this effort on a personal basis, without benefit of institutional support. At present, I have an appointment as a Research Assistant Professor in the Department of Pharmacology at Temple University Medical School (Philadelphia, PA). In addition, from September 1998 through June of this year I was employed as a Special Expert in the Neurogenetics Laboratory of the National Institute of Neurological Disorders and Stroke (Bethesda, MD). In a somewhat unusual relationship, I conducted my NINDS supported laboratory studies in the Department of Neurology of the University of Pennsylvania Medical School (Philadelphia, PA). The present US national application filing is part of a series of US and foreign patent applications that I filed at my own initiative and expense prior to my joining the faculty at Temple University or my consulting work for the NINDS. At present, my other USPTO applications under review include serial numbers 08/473,786, 08/883,290, 08/814,291 and 08/963,729. Various foreign filings corresponding to the first three of these are also under review. I have one US patent (number 5,668,117) and four issued Australian patents. Yet while I am skilled in the art as a biochemist, my legal expertise remains limited.

The history of the present matter may be summarized and documented in detail as follows. Please note the enclosed photocopy of a single page document, the first line of which reads "Howard, these are your upcoming fee payments." In the middle of the page, the document is signed "Don" and dated "11 April 1998." The second line of this document reads "29 April P1018 PCT(US) Petition to Revive Abandoned Appln." On the last handwritten line of the document, I noted "when is the P1018 US US -\$660 really due?" This letter documents that as of 11 April 1998 my attorney of record for the parent PCT filing and I were engaged in a good faith effort to file the required Petition for Revival of an Application for Patent Abandoned Unintentionally Under 37 CFR1.137(b). It was our mutual understanding at the time that we were acting in accord with all USPTO requirements on the present matter. In the midst of many professional activities, and with no intent to

abandon on my part, I had not activated the US national filing of this case. But Dr. Perrella and I believed that we still had time to rectify my inadvertent omission.

My telephone records (copies included herein) document that I spoke with Dr. Perrella (Florida telephone number 941-591-2651 and New Jersey telephone number 609-737-1727) on April 16th at 12:32 PM and 1:53 PM, on April 18th at 1:06 PM and 1:44 PM, on April 27th at 11:44 AM, and on April 28th at 3:34 PM. Dr. Perrella, now "semi-retired" from his patent law practice, usually works out of his Florida home. From 19 April 1998 to approximately 12 May 1998 he was at his New Jersey home (and he presently is at his New Jersey home). These telephone records document that in the days immediately subsequent to my receipt of Dr. Perrella's letter dated 11 April 1998, we were in active communication. Although we discussed the status of several patent applications during these telephone conversations, our most immediate concern obviously was Dr. Perrella's understanding that the Petition for Revival of an Application for Patent Abandoned Unintentionally Under 37 CFR1.137(b) had to be filed by April 29th.

However, Dr. Perrella told me in these conversations that he would telephone a USPTO representative to obtain further information, in particular, to confirm what the deadline was for filing the petition and the exact cost. He did in fact telephone a USPTO representative prior to April 29th, and after reviewing the original PCT filing in this conversation, Dr. Perrella was informed by a USPTO representative that the abandonment date for this case was either 22 October 1997 or 22 November 1997, and that a Petition for Revival of an Application for Patent Abandoned Unintentionally Under 37 CFR1.137(b) could be filed up to one year beyond the abandonment date. In his April 1998 conversation with a USPTO representative there appears to have been some uncertainty as to whether the abandonment date was 22 October 1997 or 22 November 1997. But, in any case, Dr. Perrella communicated to me that I still had until either 22 October 1998 or 22 November 1998 to reactivate the case. He suggested that prior to October 1998, I should telephone the USPTO to confirm whether I had until either 22 October 1998 or 22 November 1998 to submit a valid petition.

Regarding the statement contained on lines 8 - 13 of page 3 of your Office letter, please note that the USPTO representative that Dr. Perrella spoke to made no reference whatsoever to a requirement that a valid petition must be submitted within three months subsequent to the discovery that the abandonment date had already inadvertently passed.

After receiving that information from Dr. Perrella, my attention and his moved on to other more immediate matters, as listed by date in his 11 April 1998 letter. As regards line 4 of Dr. Perrella's April 11th letter, on May 8th I issued check number 4724 in the amount of \$190.00. As regards lines 3, 8 and 10, on

May 8th I issued check number 4725 in the amount of \$687.17. All of the fees due as noted on Dr. Perrella's letter of 11 April 1998 were paid by required deadlines. I informed Dr. Perrella that I would personally submit the required petition on the present matter prior to the deadline, whether said deadline be 22 October 1998 or 22 November 1998.

However, I did not have a format copy for the filing of such a petition. Dr. Perrella contacted a USPTO representative to obtain a copy of the form for me, and, in return, he received a two page facsimile communication of the petition form (copy included herein). Please note that on the top of page two of this fax, the date 06/10/98 appears next to the transmitting telephone number 703-308-6916. If necessary, I believe that we can confirm that this is a USPTO fax number.

With the information provided to me by Dr. Perrella subsequent to his clarification of questions related to the filing of this petition by his having directly contacted the USPTO prior to 29 April 1998, I delayed further action on this matter until 17 September 1998. On that date, I telephoned the USPTO at (703)-305-3620 at 10:00 AM and, according to my personal telephone log, I spoke with Ms. Catherine Short. Immediately prior to calling Ms. Short, I spoke with Dr. Perrella. The following day, I briefly spoke with Ms. Short again at 8:54 AM and 9:10 AM. At her advice, I then telephoned the USPTO at (703)-305-3619 and spoke with Ms. Donna Green at 9:13 AM and 11:20 AM (copy of telephone records included herein).

I discussed the prior filing history of this invention with Ms. Green, and requested that she clarify my understanding that I had until either October 22nd or November 22nd to file the petition. She confirmed that the petition filing deadline was 22 November 1998. I should note that Ms. Green was also very helpful and considerate in her advice to me. She was obviously quite familiar with this petition process, and clearly and patiently answered a number of particular questions I had, which related to fees due and how the petition should be filled out. I mentioned to her that I was following up on Dr. Perrella's telephone call to the USPTO regarding this matter the previous April, and she said nothing regarding a requirement that a petition be submitted within three months of discovery of passage of the abandonment date.

With benefit of detailed comments offered by Ms. Green, the Petition for Revival of an Application for Patent Abandoned Unintentionally Under 37 CFR1.137(b) was filed on 21 November 1998, together with payment of required fees.

The following information will serve to clarify the original 22 November 1995 filing of a Verified Statement Claiming Small Entity Status related to the parent provisional PCT filing on behalf of the Trustees of the University of Pennsylvania and my

subsequent personal filing dated 12 May 1999 of a Verified Statement Claiming Small Entity Status for the US national filing under your present consideration. Prior to 01 September 1995, I wrote an initial draft of the provisional patent application on which the present case is based. As I saw grounds for my working on a voluntary basis in collaboration with the University of Pennsylvania (PENN) to possibly co-develop this invention, in February 1995 I contacted the PENN Center for Technology Transfer. In the course of subsequent informal discussions between PENN representatives and myself, as a professional courtesy the University elected to file a provisional patent application on my behalf. The provisional patent application was filed on 01 September 1995 from the office of Jane Massey Licata, who acted as PENN's agent in this matter. Copies of Ms. Licata's 01 September 1995 Provisional Application Transmittal Letter, Ms. Licata's check number 2875 in the amount of \$150.00 dated 01 September 1995 to the Commissioner of Patents and Trademarks, and the USPTO stamped return postcard which assigned serial number 60/003,174 to this filing accompany the present letter.

On 22 November 1995, Ms. Licata filed a Small Entity Transmittal Letter, a Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(d) - Nonprofit Organization, payment in the form of check number 2038-23201728 in the amount of \$75.00, and return address receipt postcard for this filing. Copies of these documents accompany the present letter.

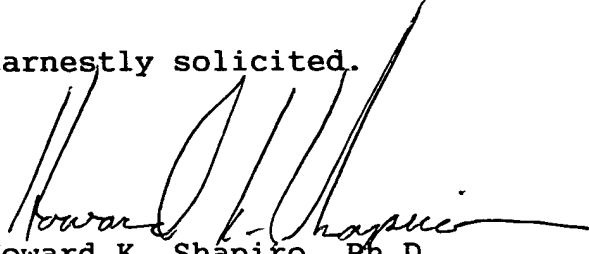
However, I never assigned rights to this invention to PENN, and subsequent to 22 November 1995 I withdrew from further discussions with PENN. PENN abandoned further interest in this matter, and Ms. Licata forwarded the entire original provisional patent application file to me. Please note enclosed copy of letter from Dr. Janet E. Reed to Ms. Licata dated 23 August 1996, in which PENN acknowledged its withdrawal from further activity regarding this invention.

With the assistance of Dr. Perrella as my attorney of record, on 29 August 1996 I filed PCT International Application Number PCT/US96/13850. In a conversation I had with Dr. Perrella in early May of this year, when I was working on my initial draft of the present letter, he noted that there was no requirement to file a Verified Statement (Declaration) Claiming Small Entity Status with my PCT filing.

I believe that the comments and information offered above, together with the accompanying Declaration for Patent Application, the accompanying Transmittal Letter to the United States Designated/Elected Office Concerning A Filing Under 35 U.S.C. 371 (Form PTO-1390), the accompanying Declaration for Utility or Design Patent Application (Form PTO/SB/01) and the Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b)) - Independent Inventor filed 12 May 1999,

appropriately address the objections raised in your Office letter postmarked 12 March 1999. On these grounds, I request that the dismissal without prejudice of my previously filed petition under 37 CFR §1.137(b) to revive the above-captioned application be withdrawn.


Favorable action is earnestly solicited.



Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F-32
Narberth, PA 19072
telephone (610)-668-8747
fax (610)-667-3274

10 August 1999
Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified mail number Z-516-847-264 in an envelope addressed to: Attention - PCT Legal Office, Assistant Commissioner of Patents, Box PCT, Washington, D.C. 20231 on 10 August 1999 by Howard K. Shapiro, Ph.D.



Howard K. Shapiro, Ph.D.

4/19-5/12
609-137-1727
\$660.

Howard, these are your upcoming fee payments.

receive
by

29 April
11 May
11
20
31
15 Jun
28 Jun
28
29
29
30 Jun
30 Jun

P1018 PCT (US) Petition to Revive Unintentionally Abandoned Appln.
P1011 PCT Aul Annuity US \$621.04
P1011 PCT Can ~~100~~ PAID # 4724
P1011 PCT Aul Amend
P1011 PCT Eur Maintenance Fee DM 1050.00
P1000 PCT Response
P1000B PCT Aul (HS) Annuity US \$207.01
P1000B PCT Can Annuity C\$150.00
P1001 PCT Aul (HS) Annuity US \$227.91
P1001 PCT Can Maintenance Fee C\$175.00
P1001PCT Eur Maintenance Fee DM 1700.00
P1000B PCT Eur Maintenance Fee DM 1100.00

PAID # 4725

Don

11 April 1998

When is the P1018 US ~\$660 really due?

**PETITION FOR REVIVAL OF AN APPLICATION FOR PATENT ABANDONED
UNINTENTIONALLY UNDER 37 CFR 1.137(b)**

Docket Number (Optional)

First named inventor:

Application No.:

Group Art Unit:

Filed:

Examiner:

Title:

Attention: Office of Petitions
Assistant Commissioner for Patents
Box DAC
Washington, D.C. 20231

NOTE: If information or assistance is needed in completing this form, please contact Petitions Information at (703)305-9282.

The above-identified application became abandoned for failure to file a timely and proper response to the Office action mailed on _____ which set a _____ month/day period for response. The abandonment date of this application is _____ (i.e., the day after the expiration date of the period set for response plus any extensions of time obtained therefor).

APPLICANT HEREBY PETITIONS FOR REVIVAL OF THIS APPLICATION

NOTE: A grantable petition requires the following items:

- (1) Petition fee;
- (2) Proposed response and/or issue fee;
- (3) Terminal disclaimer with disclaimer fee -- required for all utility and plant applications filed before June 8, 1995, and for all design applications; and
- (4) Statement that the entire delay was unintentional.

1. Petition fee

- ☐ Small entity - fee \$ _____ (37 CFR 1.17(m))
- ☐ Small entity statement enclosed herewith
- ☐ Small entity statement previously filed.
- ☐ Other than small entity - fee \$ _____ (37 CFR 1.17(m))

2. Proposed response and/or fee

- A. The proposed response and/or fee to the above-noted Office action in the form of _____ (identify type of response):
- ☐ has been filed previously on _____
- ☐ is enclosed herewith.
- B. The issue fee of \$ _____
- ☐ has been paid previously on _____
- ☐ is enclosed herewith.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 1.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Approved for use through 9/30/00. OMB 0801-0031
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

3 Terminal disclaimer with disclaimer fee

- ☐ Since this utility/plant application was filed on or after June 8, 1995, no terminal disclaimer is required.
- ☐ A terminal disclaimer (and disclaimer fee (37 CFR 1.20(d)) of \$ _____ for a small entity or \$ _____ for other than a small entity) equivalent to the number of months from abandonment to the filing of this petition is enclosed herewith

4. Statement. The entire delay in filing the required reply from the due date for the reply until the filing of a grantable petition under 37 CFR 1.137(b) was unintentional.

Where a petition under 37 CFR 1.137(b) is not filed within three months from the mail date of a notice of abandonment or one year from the date of abandonment, explain (on an attached sheet) in detail the cause of the delay in filing this petition.

Date _____

Signature _____

Telephone

Number: (____) _____

Typed or printed name _____

Address _____

Enclosures.

☐ Response

☐ Fee Payment

☐ Terminal Disclaimer Form

☐ Small Entity Status Form

☐ _____

By completing the Certificate of Mailing, below, the date mailed will be considered the date this correspondence is filed.

CERTIFICATE OF MAILING [37 CFR 1.8(a)]

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box DAC, Washington, DC 20231.

Date _____

Signature _____

Typed or printed name of person signing Certificate _____

Z 516 847 332

US Postal Service

Receipt for Certified Mail

No Insurance Coverage Provided.

Do not use for International Mail (See reverse)

Sent to: ATTN: PCT Legal Office Asst. Comm. for Patents	
Street & Number Box PCT	
Post Office, State, & ZIP Code WASHINGTON DC 20231	
Postage 0.33	
Certified Fee 1.40	
Special Delivery Fee 0.00	
Restricted Delivery Fee 0.00	
Return Receipt Showing to Whom & Date Delivered 0.00	
Return Receipt Showing to Whom Date, & Addressee's Address 0.00	
TOTAL Postage & Fees 1.73	
Postmark or Date 1999 JUN 12	

Howard K. Shapiro, Ph.D.

214 Price Avenue, Apt. F32

Narberth, PA 19072

Extension of Time Under 37 CFR §1.136(a) Docket Number P-1018

Howard K. Shapiro

m No.: PCT/US96/13850

Group Art Unit: N/A

re: 29 August 1996

Examiner: N/A

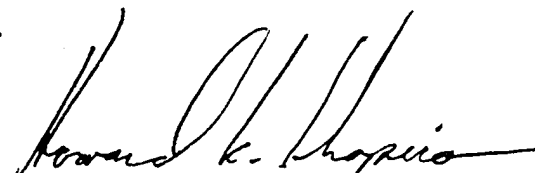
sitions for Development of Drug Screening Procedures and

**atz
T Legal Office
missioner for Patents**

.C. 20231

This letter is responsive to your Office letter postmarked 12 April 1998, in which you and Ms. Jennifer Bahr declined the above cited petition and requested further information and explanation on my part. On 12 May 1999 I submitted a request a one month extension of time under 37 CFR §1.136(a). At present, I would like to request an additional two month extension of time under 37 CFR §1.136(a). Payment of \$110.00 as check number 5030 is enclosed herein.

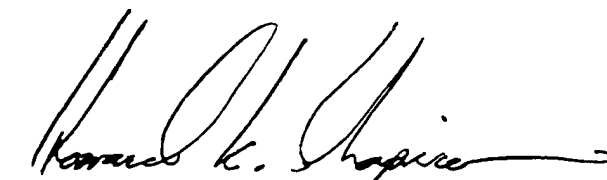
My thanks for your help.


Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F-32
Narberth, PA 19072
telephone (610)-668-8747
fax (610)-667-3274

12 June 1999

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified mail number Z-516-847-332 in an envelope addressed to: Attention - PCT Legal Office, Assistant Commissioner of Patents, Box PCT, Washington, D.C. 20231 on 12 June 1999 by Howard K. Shapiro, Ph.D.


Howard K. Shapiro, Ph.D.

PS Form 3800, April 1995

and address
means of in
ont article
April 1999
gent of the
front of p
orm 3
5.0

from the desk of

Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F32
Narberth, PA 19072

Request for One Month Extension of Time Under 37 CFR §1.136(a) **Docket Number**
P-1018

First named inventor: Howard K. Shapiro

International Application No.: PCT/US96/13850

Group Art Unit: N/A

International Filing Date: 29 August 1996

Examiner: N/A

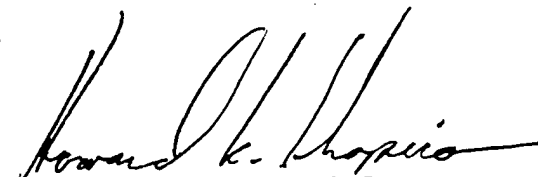
Title: Methods and Compositions for Development of Drug Screening Procedures and Diagnostic Tools

Attention: Cynthia M. Kratz
Attention: PCT Legal Office
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Ms. Kratz:

This letter is responsive to your Office letter postmarked 12 April 1998, in which you and Ms. Jennifer Bahr declined the above cited petition and requested further information and explanation on my part. On 12 May 1999 I submitted a request a one month extension of time under 37 CFR §1.136(a). At present, I would like to request an additional two month extension of time under 37 CFR §1.136(a). Payment of \$110.00 as check number 5030 is enclosed herein.

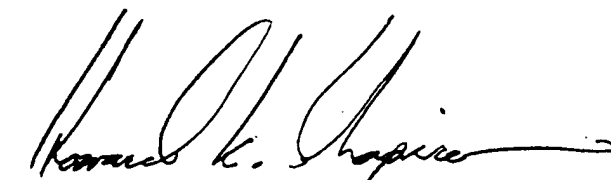
My thanks for your help.


Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F-32
Narberth, PA 19072
telephone (610)-668-8747
fax (610)-667-3274

12 June 1999

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified mail number Z-516-847-332 in an envelope addressed to: Attention - PCT Legal Office, Assistant Commissioner of Patents, Box PCT, Washington, D.C. 20231 on 12 June 1999 by Howard K. Shapiro, Ph.D.


Howard K. Shapiro, Ph.D.

HOWARD K. SHAPIRO
214 PRICE AVE., APT. F32
NARBERTH, PA. 19072

60-848
319
3664005

4998

DATE 12 May 1999

PAY TO THE ORDER OF Commissioner of Patents & Trade Marks \$ 55.00

Fifty-five dollars and no/100 DOLLARS ☒ Security features included. Details on back.

080061998 400 18 4767 4767



The Bryn Mawr Trust Company

MEMO one month extension PIDIR - PT. 10000000 Howard K. Shapiro MP

⑆031908485⑆ ⑈366 4005⑈ 4998 ⑈0000005500⑈

SAFETY PAPER

HOWARD K. SHAPIRO
214 PRICE AVE., APT. F32
NARBERTH, PA. 19072

60-848/319
3664005

5030

DATE June 12, 1999

PAY TO THE ORDER OF Commissioner of Patents & Trade Marks \$ 110.00

one hundred and Ten dollars and no/100 DOLLARS ☒ Security features included. Details on back.

080062001 400 18 4767 4767



The Bryn Mawr Trust Company

MEMO PIDIR two month extension Howard K. Shapiro MP

⑆031908485⑆ ⑈366 4005⑈ 5030 ⑈0000011000⑈

SAFETY PAPER

FRB-PHILA*RCPC
080061998 0310-0004-0
080061998 06-22-99
01210000 1STMIX
260049728 0520-0027-8
260049728 06-22-99

FRST VERT VAL EXK
FAVOR THE
13-10-0001
FOR CREDIT TO THE
U.S. TREASURY
36277
0560011154

PATENT AND TRADEMARK OFFICE
13-10-0001
06-18-1999
FOR CREDIT TO THE
U.S. TREASURY
36277

check
#498

001000100

FRB-PHILA*RCPC
080062001 0310-0004-0
080062001 06-22-99
01210000 1STMIX
260049752 0520-0027-8
260049752 06-22-99

FRST VERT VAL EXK
FAVOR THE
13-10-0001
FOR CREDIT TO THE
U.S. TREASURY
36434
0560011154

PATENT AND TRADEMARK OFFICE
13-10-0001
06-18-1999
FOR CREDIT TO THE
U.S. TREASURY
36434

check
#5030

001000300

June 24, 1998

Total VarTec Telecom, Inc. non-basic charges \$6.90

VarTec Telecom, Inc. toll charges

No.	Date	Time	Call type	Place	Number	Minutes	Cost	T
1	Mar 27	9:20AM	Day	To CALDWELL NJ	973-882-1505	3.0	.15	A
2	Mar 31	11:55AM	Day	To CALDWELL NJ	973-882-1505	4.0	.40	A
3	Mar 31	3:08PM	Day	To CALDWELL NJ	973-882-1505	3.0	.15	A
4	Mar 31	3:10PM	Day	To CALDWELL NJ	973-882-1505	4.0	.40	A
5	Apr 1	10:40AM	Day	To NO NAPLES FL	941-591-2651	6.0	.60	A
6	Apr 1	1:38PM	Day	To NO NAPLES FL	941-591-2651	3.0	.15	A
7	Apr 2	10:45AM	Day	To NO NAPLES FL	941-591-2651	3.0	.30	A
8	Apr 3	3:30PM	Day	To RAMSEY NJ	201-934-5000	3.0	.15	A
9	Apr 4	2:20PM	Nite/wknd	To MOUNT DORA FL	352-383-4848	10.0	.50	A
* 10	Apr 16	12:32PM	Day	To NO NAPLES FL	941-591-2651	3.0	.30	A
* 11	Apr 16	1:53PM	Day	To NO NAPLES FL	941-591-2651	8.0	.40	A

Continued

June 24, 1998

No.	Date	Time	Call type	Place	Number	Minutes	Cost	T
* 1	Apr 18	1:06PM	Nite/wknd	To NO NAPLES FL	941-591-2651	7.0	.35	A
* 2	Apr 18	1:44PM	Nite/wknd	To VERONA NJ	973-239-0915	3.0	.30	A
3	Apr 19	4:57PM	Nite/wknd	To VERONA NJ	973-239-0915	3.0	.15	A
4	Apr 20	8:18PM	Evening	To VERONA NJ	973-239-0915	3.0	.30	A
5	Apr 24	11:57AM	Day	To BELMONT MA	617-855-2101	7.0	.70	A
6	Apr 26	8:14PM	Evening	To NEW YORK NY	212-873-5306	3.0	.15	A
* 7	Apr 27	11:44AM	Day	To PENNINGTON NJ	609-737-1727	25.0	2.50	A
8	Apr 28	9:55AM	Day	To BELMONT MA	617-855-2101	7.0	.70	A
9	Apr 28	10:37AM	Day	To NEW YORK NY	212-307-0500	3.0	.30	A
10	Apr 28	10:51AM	Day	To NEW YORK NY	212-307-0500	12.0	1.20	A
11	Apr 28	3:34PM	Day	To PENNINGTON NJ	609-737-1727	14.0	1.40	A
12	Apr 28	9:51PM	Evening	To NEW YORK NY	212-873-5306	17.0	1.70	A
13	Apr 29	8:12PM	Evening	To PENNINGTON NJ	609-737-1727	17.0	1.70	A
14	Apr 30	9:02AM	Day	To PENNINGTON NJ	609-737-1727	5.0	.50	A
15	Apr 30	2:29PM	Day	To PENNINGTON NJ	609-737-1727	3.0	.15	A
16	Apr 30	4:02PM	Day	To PENNINGTON NJ	609-737-1727	3.0	.30	A

Continued

September 24, 1998

No.	Date	Time	Call type	Place	Number	Minutes	Cost	T
1	Sep 10	2:12PM	Day	To BETHESDA	MD 301-435-1278	6.0	.30	A
2	Sep 10	2:36PM	Day	To BETHESDA	MD 301-435-1278	3.0	.30	A
3	Sep 10	2:50PM	Day	To BETHESDA	MD 301-435-1278	3.0	.15	A
4	Sep 10	2:55PM	Day	To BETHESDA	MD 301-435-5498	11.0	1.10	A
5	Sep 11	9:41AM	Day	To NEW YORK	NY 212-332-8962	3.0	.30	A
6	Sep 11	11:32AM	Day	To BETHESDA	MD 301-435-5498	3.0	.15	A
7	Sep 11	3:24PM	Day	To BETHESDA	MD 301-435-5498	3.0	.30	A
8	Sep 15	7:31AM	Nite/wknd	To SUMMIT	NJ 908-598-9489	3.0	.15	A
9	Sep 16	9:15AM	Day	To SUMMIT	NJ 908-598-9489	3.0	.30	A
10	Sep 16	9:36AM	Day	To SUMMIT	NJ 908-598-9489	11.0	1.10	A
11	Sep 16	10:36AM	Day	To NO NAPLES	FL 941-591-2651	3.0	.15	A
12	Sep 16	9:09PM	Evening	To NO NAPLES	FL 941-591-2651	3.0	.30	A
13	Sep 17	8:58AM	Day	To NO NAPLES	FL 941-591-2651	3.0	.15	A
14	Sep 17	9:12AM	Day	To NO NAPLES	FL 941-591-2651	22.0	2.20	A
* 15	Sep 17	10:00AM	Day	To ALEXANDRIA	VA 703-305-3620	3.0	.30	A

Continued

October 24, 1998

Total VarTec Telecom, Inc. non-basic charges

\$7.14

VarTec Telecom, Inc. toll charges

No.	Date	Time	Call type	Place	Number	Minutes	Cost	T
* 1	Sep 18	8:54AM	Day	To ALEXANDRIA	VA 703-305-3620	3.0	.15	A
* 2	Sep 18	9:10AM	Day	To ALEXANDRIA	VA 703-305-3620	3.0	.30	A
* 3	Sep 18	9:13AM	Day	To ALEXANDRIA	VA 703-305-3619	10.0	.50	A
4	Sep 18	9:25AM	Day	To NO NAPLES	FL 941-591-2651	4.0	.40	A
5	Sep 18	11:20AM	Day	To ALEXANDRIA	VA 703-305-3619	3.0	.15	A
6	Sep 25	8:04PM	Evening	To MOUNT DORA	FL 352-383-4848	28.0	2.80	A
7	Sep 30	3:37PM		To DIRECTORY ASSIST			.95	A
8	Sep 30	3:39PM	Day	To BETHESDA	MD 301-496-4000	3.0	.30	A
9	Sep 30	3:40PM	Day	To BETHESDA	MD 301-496-4000	17.0	1.70	A
10	Sep 30	4:00PM	Day	To BETHESDA	MD 301-435-0714	9.0	.45	A
11	Oct 4	9:00PM	Evening	To NO NAPLES	FL 941-591-2651	8.0	.80	A

Continued

from the desk of

Howard K. Shapiro, Ph.D.

214 Price Avenue, Apt. F32

Narberth, PA 19072

Docket P1018

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: METHODS AND COMPOSITIONS FOR DEVELOPMENT OF DRUG SCREENING PROCEDURES AND DIAGNOSTIC TOOLS, the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application(s) in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

No reference to an earlier US patent application is claimed herein.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first or
sole inventor:

Howard K. Shapiro

Full name of second inventor,
if any:

N/A

Inventor's signature:



Date: 10 August 1999

214 Price Avenue, Apt. F-32
Narberth, PA 19072

Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (12-97)

Approved for use through 8/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)		Attorney Docket Number	
		First Named Inventor	Howard K. Shapiro
		COMPLETE IF KNOWN	
		Application Number	09 / 194619
		Filing Date	
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing OR <input type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)		Group Art Unit	
		Examiner Name	

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHODS AND COMPOSITIONS FOR DEVELOPMENT OF DRUG SCREENING PROCEDURES AND DIAGNOSTIC TOOLS

the specification of which *(Title of the invention)*

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) **29 August 1996** as United States Application Number or PCT International Application Number **PCT/US96/13850** and was amended on (MM/DD/YYYY) **N/A** (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)
60/003174	09/01/95

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Page 1 of 2)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

PTO/SB/01 (12-87)

Approved for use through 9/30/00. OMB 0851-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.**DECLARATION — Utility or Design Patent Application**

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (If applicable)
PCT/US96/13850	08/29/96	N/A

☐ Additional U.S. or PCT International application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number

OR

☐ Registered practitioner(s) name/registration number listed below

Place Customer
Number Bar Code
Label Here

Name	Registration Number	Name	Registration Number
N/A			

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☐ Customer Number or Bar Code Label ☒ Correspondence address below

Name	Howard K. Shapiro				
Address	214 Price Avenue, Apt. F-32				
Address					
City	Narberth	State	PA	ZIP	19072
Country	US	Telephone	(610)668-8747	Fax	(610)667-3274

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))		Family Name or Surname	
Howard Kenneth		Shapiro	
Inventor's Signature	<i>Howard Kenneth Shapiro</i>		Date
			10 Aug 1999
Residence: City	Narberth	State	PA
		Country	US
Post Office Address	214 Price Avenue, Apt. F-32		
Post Office Address			
City	Narberth	State	PA
		ZIP	19072
		Country	US

☐ Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

UNIVERSITY of PENNSYLVANIA

Center for Technology Transfer

Suite 300
3700 Market Street
Philadelphia, PA 19104-3147
215-573-4500
FAX: 215-898-9519

Direct Line (215) 573-4508
reed@mail.restech.upenn.edu

August 23, 1996

Jane Massey Licata, Esq.
Woodland Falls Corporate Park
210 Lake Drive East, Suite 201
Cherry Hill, N.J. 08002

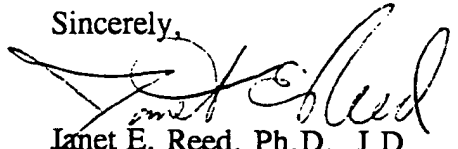
**RE: Penn Docket I-1347; your ref: PENN 0136
U.S. Provisional Patent Application "Methods for Screening
Therapeutics and Diagnostics for Neurodegenerative Disease"
Inventor: Howard K. Shapiro**

Dear Jane:

We are closing the above-identified file. Please forward all original documents relating to the referenced provisional patent application to Dr. Howard K. Shapiro at 321 North Narberth Avenue, Narberth, Pennsylvania, 19072.

Thank you for your attention to this matter.

Sincerely,



Janet E. Reed, Ph.D., J.D.
Director - Intellectual Property

cc: Howard K. Shapiro ✓

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/194619

INTERNATIONAL APPLICATION NO.
PCT/US96/13850INTERNATIONAL FILING DATE
29 August 1996PRIORITY DATE CLAIMED
01 September 1995**TITLE OF INVENTION** METHODS AND COMPOSITIONS FOR DEVELOPMENT OF DRUG
SCREENING PROCEDURES AND DIAGNOSTIC TOOLS**APPLICANT(S) FOR DO/EO/US**

Howard K. Shapiro

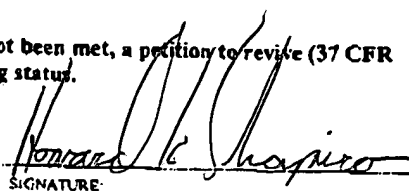
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Declaration for Utility or Design Patent Application (37 CFR 1.63)

U.S. APPLICATION NO. (if known, see 37 CFR 1.51)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
17. <input type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$760.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(c)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	* RATE		
Total claims	- 20 =		X \$18.00	\$	
Independent claims	- 3 =		X \$78.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$	
				Amount to be:	\$
				refunded	
				charged	\$
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. _____. A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
				 SIGNATURE	
				Howard K. Shapiro NAME	
				N/A N/A	
				REGISTRATION NUMBER	
				Date: 10 August 1999	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: PENN-0136
Inventors: Howard K. Shapiro
Serial No.: 60/003,174
Filing Date: September 1, 1995
Examiner: not yet assigned
Group Art Unit: not yet assigned
Title: Methods for Screening Therapeutics and
Diagnostics for Neurodegenerative
Diseases

I, Jane Massey Licata, Registration No. 32,257, certify that this correspondence is being deposited with the U.S. Postal Service as First Class mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

On this date: November 22, 1995

Jane Massey Licata

Jane Massey Licata, Registration No. 32,257

ATTN: ACCOUNTING DIVISION, OFFICE OF FINANCE
Commissioner of Patents & Trademarks
Washington, DC 20231

Sir:

SMALL ENTITY TRANSMITTAL

Enclosed please find an executed Verified Statement Claiming Small Entity Status for filing in the above-referenced application.

Respectfully submitted,

Jane Massey Licata

Jane Massey Licata
Registration No. 32,257

Date: November 22, 1995

Law Offices of
JANE MASSEY LICATA
Woodland Falls Corporate Park
210 Lake Drive East, Suite 201
Cherry Hill, New Jersey 08002
(609) 779-2400

Attorney Docket No.: PENN-0136
Inventor or Patentee: Howard K. Shapiro
Serial or Patent No.: 60/003,174
Date Filed or Issued: September 1, 1995

Title: Methods for Screening Therapeutics and
Diagnostics for Neurodegenerative Diseases

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf
of the nonprofit organization identified below:

NAME OF ORGANIZATION The Trustees of the University of
Pennsylvania
ADDRESS OF ORGANIZATION 3700 Market Street, Suite 300
Philadelphia, Pennsylvania 19104

TYPE OF ORGANIZATION:

- (XX) UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- () TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC
501(a) and 501(c)(3))
- () NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION
QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A
STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- () WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE
SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED
IN THE UNITED STATES OF AMERICA
- () WOULD QUALIFY AS A NONPROFIT SCIENTIFIC OR EDUCATIONAL
ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION
STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF
LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above
qualifies as a nonprofit organization as defined in 37 CFR 1.9(e)
for purposes of paying reduced fees under section 41(a) and (b)
of Title 35, United States Code with regard to the invention
entitled Methods for Screening Therapeutics and Diagnostics for
Neurodegenerative Diseases by inventor(s) Howard K. Shapiro
described in

() the specification filed herewith.
(xx) application serial no. 60/003,174, filed September 1, 1995.
() patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.
(37 CFR 1.27)

FULL NAME:

ADDRESS:

() INDIVIDUAL () SMALL BUSINESS CONCERN () NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE IN ORGANIZATION

ADDRESS OF PERSON SIGNING

Anthony Merritt
Executive Director
Center for Technology Transfer
3700 Market Street, Suite 300
Philadelphia, Pennsylvania 19104


SIGNATURE


DATE

RECEIVED BY THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Paper: Small Entity Transmittal (w/Certificate
of Mailing Stamp; Verified Statement
Claiming Small Entity Status

Applicant(s): Shapiro
Serial No.: 60/003,174
Filed: Sept 1, 1995
Docket No.: PENN-0136

Date Sent: November 22, 1995

RECEIVED BY THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Paper: Small Entity Transmittal (w/Certificate
of Mailing Stamp; Verified Statement
Claiming Small Entity Status

Applicant(s): Shapiro
Serial No.: 60/003,174
Filed: Sept 1, 1995
Docket No.: PENN-0136
Date Sent: November 22, 1995

NOV 28 1995
OFFICE OF THE
COMMISSIONER OF
PATENTS AND
TRADEMARKS

NOTICE TO CHECK RECIPIENT

TREASURY-FINANCIAL MANAGEMENT SERVICE TFS FORM 3039 (Rev.)

VENDOR NAME: JANE MASSEY LICATA

VENDOR I.D.
NUMBER: JANE MASSEYAGENCY NAME } PATENT & TRADEMARK OFFICE
AND BILLING } 2011 CRYSTAL DRIVE
ADDRESS: } CRYSTAL PARK 1, SUITE 802
ARLINGTON VA 22202U.S. TREASURY REG.
FINANCIAL CENTER: PHILADELPHIA, PACHECK NUMBER
2038-23201728CHECK AMOUNT
\$*****75.00CHECK DATE
05-28-96

PAYMENT IDENTIFICATION DATA
DATE DEPOSITED 09/01/95
FOR SERIAL NUMBER 60003174
DOC. NUMBER/MARK
AMT. REFUNDED \$75.00
REMARKS SMALL ENTITY
FFS IDENTIFICATION MAY96-00819
ANY QUESTIONS CONTACT FREDA CONNELLY 703 305-4229
05/19/96

AGENCY SCHEDULE NUMBER

M000000157

AGENCY TELEPHONE NUMBER

703-305-8083

NON NEGOTIABLE

PLEASE DIRECT ANY INQUIRIES CONCERNING THIS PAYMENT TO THE AGENCY AT THE ADDRESS (OR TELEPHONE NUMBER) INDICATED ABOVE.

Z 516 847 262

US Postal Service

Receipt for Certified Mail

No Insurance Coverage Provided.

Do not use for International Mail (See reverse)

Sent to ATTN: PCT Legal Office Asst. Comm. for Patents	
Street & Number Box PCT	
Post Office, State, & ZIP Code Washington, D.C. 20231	
Postage	\$.33
Certified Fee	1.40
Special Delivery Fee	
Restricted Delivery Fee	
Return Receipt Showing to Whom & Date Delivered	
Return Receipt Showing to Whom, Date, & Addressee's Address	
TOTAL Postage & Fees	\$ 1.73
Postmark or Date	

Howard K. Shapiro, Ph.D.

214 Price Avenue, Apt. F32

Narberth, PA 19072

Extension of Time Under 37 CFR §1.136(a) Docket Number P-1018

Howard K. Shapiro

Mail No.: PCT/US96/13850

Group Art Unit: N/A

Date: 29 August 1996

Examiner: N/A

Provisions for Development of Drug Screening Procedures and

Kratz

PCT Legal Office

Commissioner for Patents

Washington, D.C. 20231

Dear Ms. Kratz:

This letter is responsive to your Office letter postmarked 12 April 1998, in which you and Ms. Jennifer Bahr declined the above cited petition and requested further information and explanation on my part. At present, I would like to request a one month extension of time under 37 CFR §1.136(a). Payment of \$55.00 as check number 4998 is enclosed herein.

Also, enclosed herein is a filing of my Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b)) - Independent Inventor.

My thanks for your helpful telephone comments today.

Howard K. Shapiro
Howard K. Shapiro, Ph.D.

214 Price Avenue, Apt. F-32

Narberth, PA 19072

telephone (610)-668-8747

fax (610)-667-3274

12 May 1999

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified mail number Z-516-847-262 in an envelope addressed to: Attention - PCT Legal Office, Assistant Commissioner of Patents, Box PCT, Washington, D.C. 20231 on 12 May 1999 by Howard K. Shapiro, Ph.D.

Howard K. Shapiro
Howard K. Shapiro, Ph.D.

PS Form 3800, April 1995

who address
article by means of the
Endorse front of article

Authorized agent of the
e.

on the front of the
1 of Form 38
102595-gr

April 1995

from the desk of

Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F32
Narberth, PA 19072

Request for One Month Extension of Time Under 37 CFR §1.136(a) **Docket Number**
P-1018

First named inventor: Howard K. Shapiro

International Application No.: PCT/US96/13850

Group Art Unit: N/A

International Filing Date: 29 August 1996

Examiner: N/A

Title: Methods and Compositions for Development of Drug Screening Procedures and Diagnostic Tools

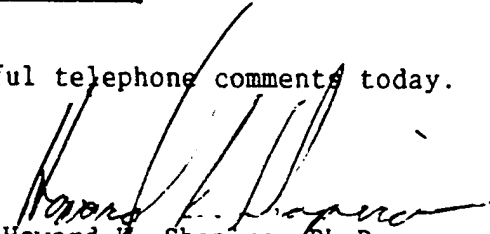
Attention: Cynthia M. Kratz
Attention: PCT Legal Office
Assistant Commissioner for Patents
Box PCT
Washington, D.C. 20231

Dear Ms. Kratz:

This letter is responsive to your Office letter postmarked 12 April 1998, in which you and Ms. Jennifer Bahr declined the above cited petition and requested further information and explanation on my part. At present, I would like to request a one month extension of time under 37 CFR §1.136(a). Payment of \$55.00 as check number 4998 is enclosed herein.

Also, enclosed herein is a filing of my Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b)) - Independent Inventor.


My thanks for your helpful telephone comments today.


Howard K. Shapiro, Ph.D.
214 Price Avenue, Apt. F-32
Narberth, PA 19072
telephone (610)-668-8747
fax (610)-667-3274

12 May 1999

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as certified mail number Z-516-847-262 in an envelope addressed to: Attention - PCT Legal Office, Assistant Commissioner of Patents, Box PCT, Washington, D.C. 20231 on 12 May 1999 by Howard K. Shapiro, Ph.D.


Howard K. Shapiro, Ph.D.

STATEMENT CLASSIFYING SMALL ENTITY STATUS
(37 CFR 1.9(n) & 1.27(b)) - INDEPENDENT INVENTOR

Docket Number (Optional)
P1018

Applicant, Patentee, or Identifier: Howard K. Shapiro

Application or Patent No.: PCT/US96/13850

Filed or Issued: International Filing Date: 29 August 1996

Title: Methods and Compositions for Development of Drug Screening

Procedures and Diagnostic Tools

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.
☐ Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Howard K. Shapiro

NAME OF INVENTOR

NA
NAME OF INVENTOR

NA
NAME OF INVENTOR

Howard K. Shapiro
Signature of inventor

Signature of inventor

Signature of inventor

12 May 1999
Date

Date

Date

RECEIVED UNITED STATES
PATENT TRADEMARK OFFICE

Paper: Provisional Patent Application
Transmittal Letter (in triplicate with
Express Mail Stamp); specification
pages 1-15); check for \$150.00 for
provisional filing fee; all via
Express Mail TB 907 701 366 US

Applicant(s): Shaprio
Serial No.: Not yet assigned.
Filed: Herewith
Docket No.: PENN-0136

Date Sent: September 1, 1995

RECEIVED BY THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Paper: Provisional Patent Application
Transmittal Letter (in triplicate with
Express Mail Stamp); specification
pages 1-15); check for \$150.00 for
provisional filing fee; all via
Express Mail TB 907 701 366 US

Applicant(s): Shaprio
Serial No.: Not yet assigned.
Filed: Herewith
Docket No.: PENN-0136

Date Sent: September 1, 1995



60/003174

TB907701366 US POST OFFICE
TO ADDRESSEE

ORIGIN		Date: 9/1/95	Postage: \$10.75
Post Office: 20076	Time In: 1:00 P.M.	Return Receipt: 3	
Zip Code: 20076	Weight: 12 oz.	C.O.D.:	
Initials of Receiving Clerk: [Signature]			
ACCEPTANCE			
<input checked="" type="checkbox"/> Next Day Delivery	or <input type="checkbox"/> Second Day Delivery		
<input checked="" type="checkbox"/> By 12 Noon	or <input type="checkbox"/> By 3:00 P.M.		
<input type="checkbox"/> Military 2nd Day	or <input type="checkbox"/> Military 3rd Day		
		Total Postage & Fees: \$10.75	

Express Mail Corporate Account No. X080720 Federal Agency Account No.:
FROM:
JANE MASSEY LICATA ESQUIRE
210 LAKE DR E
STE 201
CHERRY HILL NJ 08002-1163

PENN-0136

SEE REVERSE FOR SERVICE GUARANTEE
INSURANCE COVERAGE AND CLAIMS.
THANK YOU FOR CHOOSING EXPRESS
MAIL SERVICE.



Waiver of
Signature
and Indemnity
(Domestic Only)

I wish delivery to be made without obtaining the signature of the addressee or the addressee's agent (if in the judgment of the delivery employee, the article can be left in a secure location) and I authorize the delivery employee to sign that the shipment was delivered and understand that the signature of the delivery employee will constitute valid proof of delivery.

SIGNED: _____

TO: Telephone Number: _____
COMM OF PATENTS & TRADEMARKS
BOX 100000
WASHINGTON DC 20001-0001

CUSTOMER RECEIPT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO: PENN-0136

TITLE: Methods for Screening Therapeutics and Diagnostics for
 Neurodegenerative Diseases

INVENTORS:

LAST NAME	FIRST NAME/MIDDLE INITIAL	RESIDENCE
Shapiro	Howard K.	321 North Narberth Ave Narberth, PA 19072

"Express Mail" Label No. TB 907 701 366 US
Date of Deposit - September 1, 1995

I hereby certify that this paper is being deposited with
the United States Postal Service "Express Mail Post Office
to Addressee" service under 37 CFR 1.10 on the date
indicated above and is addressed to the Commissioner of
Patents and Trademarks, Washington, D.C. 20231.

By Mary La Grange
Typed Name: Mary La Grange

BOX PROVISIONAL PATENT APPLICATION
Commissioner of Patents & Trademarks
Washington, DC 20231

Sir:

PROVISIONAL APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find the following:

- (xx) Specification containing pages 1-15.
- () _____ sheet(s) of **informal** drawing(s).
- () Small Entity Statement.

The invention was made by an agency of the United States Government
or under a contract with an agency of the United States Government.

- (xx) No.
- () Yes, the name of the U.S. Government agency and the Government
contract number are: _____

(xx) The Provisional Application filing fee of \$150.00 is enclosed.
(Large Entity \$150; Small Entity \$75).

() Please charge the Provisional Application filing fee to our
Deposit Account No. 12-1086. This transmittal letter is
enclosed in triplicate.

(XX) The Commissioner is hereby authorized to charge any
underpayment associated with this communication or credit any
overpayment to Deposit Account No. 12-1086. This sheet is
attached in triplicate.

Respectfully submitted,

Jane Massey Licata
Jane Massey Licata
Registration No. 32,257

Date: September 1, 1995

Law Offices of
JANE MASSEY LICATA
Woodland Falls Corporate Park
210 Lake Drive East, Suite 201
Cherry Hill, New Jersey 08002

(609) 779-2400

2875

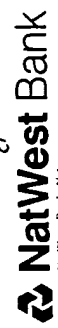
JANE MASSEY LICATA, ESQ.
WOODLAND FALLS CORPORATE PARK
210 LAKE DRIVE EAST, SUITE 201
CHERRY HILL, NJ 08002

55-33-274
212
2742003429

Sept. 1 19 95

PAY TO THE ORDER OF Hon. Commissioner of Patents and Trademarks \$ 150.00

One hundred and fifty and 00/100 DOLLARS



NatWest Bank, N.A.
Member FDIC
PO Box 555, Voorlees, NJ 08013

MEMO: Penn - 0134 Jane Massey Licata MP

⑆021200339⑆ 2742 00 3429⑈ 2875

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.